

MAY 9 1983

APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR Application Date April 25, 1983 Application Number DHR 83-7		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES Commissioner's Office Office of Regulatory Services Standards and Licensure 618 Ponce de Leon Avenue, N.E. Atlanta, Georgia 30308		ARCHIVES AND HISTORY Application Number 74-174-A Date Received APR 27 1983 Date Completed SEP 12 1983	
2. Person to Contact Clyde R. Roy, Director Effie Taylor		Working Title Director		Telephone Number 894-5137	
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 74-174 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supercede; <input type="checkbox"/> Void -change retention to make uniform with retention periods for other files series in this unit					
4. Dates of Series Earliest Latest		5. Records Series Title (followed by title used in office; if different) Licensed Medical Facilities Files			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Included are: File is arranged:					
8. Monthly Reference Rate One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ? OK!					
9. Annual Rate of Accumulation or Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

a. State Law _____ years.

b. Statute of limitation _____ years.

c. Federal law _____ years.

The following requires the series to be kept:

d. Audit period _____ years.

* e. Administrative need 4 years.

** f. Federal retention instructions 3 years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

* records needed in event legal questions may arise

** see attached instructions - United States Department of Health, Education, & Welfare
State Operations Manual - Medicare - April, 1980

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

☒ Hold in the current files area _____ month(s) 1 year(s); then

☐ Transfer to local holding area; hold _____ year(s); then

☒ Transfer to State Records Center; hold 3 year(s); then

☒ Destroy, EXCEPT THAT: Files for years ending in 0 will be transferred to State Archives

☐ Transfer to State Archives for permanent retention. for Permanent Retention.

☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Clyde R. Roy, Director</i> <i>Effie Taylor</i>	4-21-83	<i>Elizabeth Crank</i> Elizabeth W. Crank, CRM-RMA State Records Committee (Signature)	4/22/83

Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	Secretary of State/Designee	Attorney General/Designee
	<i>James H. Smith</i>	<i>Edward Weldon</i>	<i>Ray H. Hays</i>

Application for RECORDS DISPOSITION STANDARD

1. Application Date May 29, 1974		INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Division.		FOR RECORDS MANAGEMENT DIVISION USE Date Received: MAY 31 1974 Application No.: 74-174 Date Completed: JUN 18 1974	
2. Agency Application No. DHR-DPH-26				3. Person to Contact Raymond J. Hereth	
3. AGENCY, Division, Subdivision & Administering Office Address Department of Human Resources, Divn. of Physical Health Medical Facilities Licensure and Certification Unit 618 Ponce de Leon Avenue, N.E. Atlanta, Georgia 30308				5. Working Title Chief	
				6. Tel. No. 894-5137	

7. ACTION REQUESTED *To Amend #43*

☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED

8. Earliest & Latest Dates of Series April, 1966 to present	9. Exact Series Title LICENSED MEDICAL FACILITIES FILE
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10. What is the function of the office in which this record series is created?

The Division of Physical Health, headed by the Director, is responsible for the administration, direction and coordination of the Physical Health programs in the State. Included are the establishment of health standards for businesses, housing, field operations and hospitals throughout the State (Health Standards and Licensure); the improvement of the health of the residents of the State directed towards adults and children (Physical and Dental); the diagnosis and control of diseases (Disease Control); the supervision of construction and licensure of health facilities, along with the Cancer Assistance Program (Medical Care).

Medical Facilities Licensure and Certification Unit, through investigation, inspection, and evaluation, determine the adequacy of facilities and services in relation to requirements for the licensure and certification of hospitals, nursing homes, home health agencies, laboratories, portable X-ray services, and rehabilitative agencies for participation in Titles XVIII, XIX, and VI programs.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).

Documents relating to the licensing of medical facilities in the State.

Included are applications for permits, permits for operation, the governing body by-laws for the facility, reports of inspection, food service permits issued by the local Health Department, Reports of Inspection by the State Fire Marshal's Office and the Chief Drug Inspector's Office, County Sanitarian Inspection reports and correspondence regarding the medical facility's operation and transactions.

The file is arranged geographically under area I, II, or III; thereunder alphabetically by name of institution.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT IDENTIFIED	No. of Drawers	Col. Ft. of Shelves	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Col. Ft. of Shelves
Letter-size File Drawers	20	20 & 30		9	13
Legal-size File Drawers			Floor Space Occupied (Square Feet)	35	
			AVERAGE DAILY REFERENCES	25	5 0 0

13. Is this the Record Copy of the series? [x] YES
14. Is there a duplication of this series in another office or agency? [] NO
15. Is the information contained in this series ever summarized or published? [] NO
Attach copy of summary or publication.
16. Does the series contain classified information requiring security handling? [] NO
17. Does the series initiate, amend or terminate agency policies and procedures? [x] YES
18. Could the function be performed if the files were lost or destroyed? [x] YES
With great difficulty.
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [] NO
20. Does the record series provide data as input to an EDP file? [x] YES
Input furnishes information mentioned in question 21.
21. Does the record series contain documentation produced as EDP printout? [x] YES
Reproduced to update a quarterly roster of all licensed nursing homes intermediate care homes and hospitals in the state.
22. Has the Federal Government issued instructions governing the retention/disposition of these files? [] NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? [] NO

24. REQUIREMENTS. The following requires the files to be kept 3 years:

a. [] STATE LAW b. [] STATUTE OF LIMITATION c. [] AUDIT PERIOD d. [] FEDERAL LAW e. [x] ADMINISTRATIVE DECISION f. [] HISTORICAL VALUE
(Cite Law, Statute, or other reason for the retention requirement)

Raymond J. Hereth, Chief

This amendment requested by Department of Archives and History

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - [x] CALENDAR YEAR - [] FISCAL YEAR - [] OTHER _____, then:

Hold in current files area 1 year;

Transfer to State Records Center and hold 2 years;

Then Record Center will retire a sampling of 1 cubic feet to State Archives;

1. Destroy remainder of file.

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>William G. Lee</i>	<i>5/30/74</i>	<i>Raymond J. Hereth</i>	<i>5/31/74</i>
26. Recommendations in paragraph 25 are:	Agency Head/Designee [] Approved [] Disapproved		
	State Auditor/Designee [] Approved [] Disapproved	<i>William M. Dixon</i>	<i>6-14-74</i>
STATE RECORDS COMMITTEE	Secretary of State/Designee [] Approved [] Disapproved	<i>Carroll H. Lee</i>	<i>6-13-74</i>
	Attorney General/Designee [] Approved [] Disapproved	<i>W. M. H. Lee</i>	<i>6-14-74</i>



STATE
OF
GEORGIA

Application for RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

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1. Application Date 11-22-71	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. GDPH -10		Date Received DEC 7 1971	Date Completed DEC 14 1971
3. AGENCY, Division, Subdivision & Administering Office Address Georgia Department of Public Health Licensure Service 47 Trinity Avenue, S.W. Atlanta, Georgia		4. Person to Contact Mr. Raymond J. Hereth	
		5. Working Title Program Management	6. Tel. No. 656-4685

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.

8. Inclusive Dates

April '66-Present

9. EXACT SERIES TITLE

Licensed Medical Facilities File

10. What function performed resulted in creation of this series

New hospitals and nursing homes submit applications to be licensed for operation under State Regulations. Inspections are conducted by the Department to determine compliance with State Law. Permits are issued and the facility officially begins to function. Follow-up inspections are done on an annual basis and sub-standard facilities are inspected more frequently.

11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any

This series consists of applications for permits, permits for operation, the governing body by-laws for the facility, reports of inspection, Food Service permits issued by the local Health Department, Reports of Inspection by the State Fire Marshall's Office and the Chief Drug Inspector's Office, County Sanitarian Inspection reports and correspondence regarding the medical facility's operation and transactions. They are filed alphabetically by Area I, Area II, and Area III.

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers	20	20 & 30		9	13
Legal-size File Drawers			Floor Space Occupied (Square Feet)	In Office(s)	In Storage Area(s)
				35	
			By Annual Accumulation	This Year's	Last Year's
					Preceding All Prior Years
			AVERAGE DAILY REFERENCES	25	5
					0
					0

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☒ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☐ YES ☒ NO
15. Is the information contained in this series ever summarized or published? ☐ YES ☒ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
17. Does the series document policies and procedures of agency's operation or function? ☒ YES ☐ NO
18. Could the function be performed if the files were lost or destroyed?
With great difficulty ☒ YES ☐ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
20. Does the record series provide data as input to an EDP file? ☒ YES ☐ NO
21. Does the record series contain documentation produced as EDP printout? ☒ YES ☐ NO
22. Is the series affected by Federal or grant funds? ☐ YES ☒ NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept 4 years:

- a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE
(Cite Law, Statute, or other reason for the retention requirement)

Mr. Raymond J. Hereth

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - ☒ CALENDAR YEAR - ☐ FISCAL YEAR - ☐ OTHER, then:

A. ☐ Destroy immediately after cut off.

B. ☐ Hold in current files area _____ month(s) / 1 year(s), then:

1 ☐ Destroy.

2 ☒ Transfer to records center; hold 2 year(s), then:

a ☒ Destroy.

b ☐ Transfer historical material to Archives; destroy remainder.

3 ☐ Destroy after audit (or _____ year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area _____ year(s), then transfer to Archives permanently.

E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):

(ATTACH SAMPLES OF THE SERIES WHEN POSSIBLE)

26. Inventory taken by Raymond J. Hereth	Recommendations prepared by <i>Raymond J. Hereth</i>	Approved for Division Date <i>John H. Venable, W.D.</i> 12-13-71	Records Management Officer Date <i>Deborah Ann</i> 11-22-71
Recommendations in Paragraph 25 are:	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Head of Agency <i>John H. Venable, W.D.</i>	Date
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Director, Archives & History <i>Carol Ann</i>	Date 12-7-71
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Secretary of State <i>Ben W. Totten Jr.</i>	Date 12-13-71
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Governor of Georgia <i>Jimmy Carter</i>	Date 12-13-71